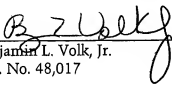


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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I hereby certify that this document is being electronically filed with the U.S. Patent and Trademark Office via the EFS Web on July 27, 2010.


Benjamin L. Volk, Jr.
Reg. No. 48,017

In re application of:	:	
Tully et al.	:	
	:	
Serial No.: 10/692,067	:	Examiner: Johnson, Gregory L.
	:	
Filed: October 22, 2003	:	Group Art Unit: 3691
	:	
For: System and Method for the Automated	:	
Brokerage of Financial Instruments	:	

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Amendment and Response with Request for Continued Examination (RCE):

In response to the Office Action dated October 28, 2009 and a Notice of Appeal filed April 27, 2010 and following Applicant's interview with the Examiner on July 8, 2010, Applicant submits the following amendment and remarks. A petition for an extension of time and the appropriate fee are included herewith.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks begin on page 13 of this paper.